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Docket No. 3499-63

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Date: October 5, 2001 #4
Name: Lisa M. Davis
Signature: Lisa M. Davis
Clifford Chance Rogers & Wells LLP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Hans-Linhard Reich et al.

Filed: June 8, 2001 Group Art Unit: 2161

Serial No: 09/877,439 Examiner: TBA

For: METHOD AND SYSTEM FOR AUTOMATED TRANSACTION
COMPLIANCE PROCESSING

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

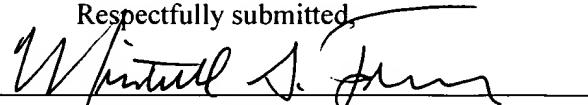
In order to comply with 37 CFR 1.97 and 1.98, attached hereto is a copy of Form PTO-1449 and copies of the documents listed thereon.

Applicants respectfully request the Examiner's consideration of the cited reference and entry into the record of this application and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104 and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

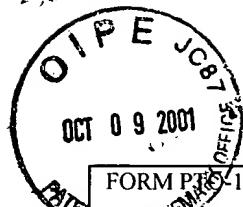
Date: October 5, 2001

Respectfully submitted,


Mitchell S. Feller

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FORM PTO-1449 U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				Serial No. 09/877,439
				Inventors: Hans-Linhard Reich et al.
				Docket No. 3499-63

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,924,082	7-13-99	Silverman et al.	705	37	6-7-95

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION
	JP 11-232352	8-27-99	Japan	No

OTHER DOCUMENTS

EXAMINER INITIAL		AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
		Carter, Craig R, "Precursors for unethical behavior in global supplier management", Journal of Supply Chain Management, v. 36, n1, pps. 45-56, Winter 2000

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Form PTO-1449 [6-4]